

# King County Board of Ethics 2004 Annual Report

January 1, 2004, through December 31, 2004

## ***Members***

Lois Price Spratlen, Ph.D., Chair  
Roland H. Carlson  
Margaret T. Gordon, Ph.D.  
Rev. Paul F. Pruitt  
Jerry Saltzman

## ***Administrator***

Catherine A. Clemens

## ***Counsel***

Alan Abrams

## ***King County Executive***

Ron Sims

## ***Department of Executive Services***

Paul Tanaka, County Administrative Officer



## **King County**

Board of Ethics

Bank of America Tower  
BOA-ES-3460  
701 Fifth Avenue, Suite 3460  
Seattle, WA 98104

206-296-1586  
Fax 206-205-0725  
TTY Relay: 711

[board.ethics@metrokc.gov](mailto:board.ethics@metrokc.gov)  
[www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/)

King County Design and Production Services  
Sue McCauley, Graphic Designer 50104sm.qxd

Alternative Formats Available



## Table of Contents

<b>Message from the Board . . . . .</b>	<b>4</b>
<b>Report Summary . . . . .</b>	<b>5</b>
<b>The King County Board of Ethics. . . . .</b>	<b>6</b>
<b>Board of Ethics Members . . . . .</b>	<b>8</b>
<b>Board Members and Staff 1983 – 2004 . . . . .</b>	<b>12</b>
<b>Staff and Budget . . . . .</b>	<b>13</b>
<b>Education and Training . . . . .</b>	<b>14</b>
<b>Review of the Code of Ethics . . . . .</b>	<b>18</b>
<b>Advice and Guidance . . . . .</b>	<b>19</b>
<b>Disclosure Programs . . . . .</b>	<b>20</b>
<b>Collaboration with Other Ethics Agencies . . . . .</b>	<b>21</b>

## Message from the Board



### **King County Board of Ethics**

Department of Executive Services  
Bank of America Tower, BOA-ES-3460  
701 Fifth Avenue, Suite 3460  
Seattle, WA 98104

**206-296-1586** Fax 206-205-0725  
TTY Relay: 711

board.ethics@metrokc.gov  
www.metrokc.gov

March 2005

King County Executive Ron Sims  
Metropolitan King County Council Chair Larry Phillips  
Members of the Metropolitan King County Council  
Separately Elected Officials

This 2004 Annual Report is a tangible representation of the collaborative and productive relationship that our five-member, volunteer citizen Board has with our ethics administrator and our legal counsel. This relationship has enabled us to reach all of our goals for this year on time. Our mission statement informs the goals that we set for establishing and disseminating the highest, understandable ethics requirements for King County employees and agencies.

Our Board members have periodic meetings with Executive Ron Sims and, since 1997, we have scheduled yearly individual meetings with members of the County Council. These meetings have enabled our Board to discuss important ethical topics with these county leaders in a forthright and supportive environment. In 2004, for the very first time, our entire Board and ethics administrator made a presentation to the King County Council's Committee of the Whole to review our work and basic accomplishments.

It is our professional relationships with administrators and elected and appointed officials that has enabled our Board to effectively promote ethics as a valuable tool for encouraging county employees to use ethical decision-making in performing their work responsibilities.

Since 2001, membership on our Board has been stable. Our staff has also remained in their respective roles. This stability has enabled us to be focused, goal-directed, and responsive to the needs of employees and other citizens of King County who seek help from our office.

Our performance as public servants is designed to be transparent and to generate public trust in government. Our 2004 report reflects these values and accomplishments.

Sincerely,

Lois Price Spratlen, Ph.D.  
Chair, King County Board of Ethics

# Report Summary

## *Serving King County Since 1972*

### **Achievements**

- More than 1,500 county employees received ethics education, with an emphasis placed on reaching new employees (78%) and supervisors (11%).
- The 2003-2006 Awareness Campaign successfully communicated with employees county-wide through a new unified image for all publications; the distribution of an ethics poster and Ethics Help Line card; and an interactive, on-line ethics survey/quiz.
- The Board-proposed amendment to the Code of Ethics relating to oaths for disclosure statements and forms was approved by the executive and forwarded to the County Council.
- The administrator issued 159 written staff informational responses and provided ethics information on 199 ethics-related telephone inquiries.
- County employees achieved 99% compliance with the financial disclosure program by the April 15th deadline; board and commission members achieved 97% compliance.

### **Board Activities and Outreach**

- The Board conducted 10 public meetings and members maintained an 84% attendance record.
- The Board hosted an annual reception on May 20th for county leadership.
- The Board presented the 2003 Annual Report to the County Council's Committee of the Whole on June 28; Chair Price Spratlen met with the executive twice, and with two councilmembers individually, in informal sessions to discuss ethics-related issues within King County government.

### **Goals and Performance Measures**

- **Goal I: Educate County Employees.** More than 1,500 county employees received ethics education in 2004, with an emphasis placed on reaching new employees (78%) and supervisors (11%). In March, the Board and administrator continued the Awareness Campaign begun in 2003, by creating and distributing Ethics Help Line cards and ethics posters throughout the county. Later in October, the ethics administrator conducted a voluntary survey/quiz for all county employees to raise awareness of the ethics code, the Board and office, and the services they provide. Over 21% of county employees participated; five of the six

multiple-choice questions received more than 90% correct responses.

- **Goal II: Continue Systematic Review of the Ethics Code.** The Board-proposed code amendment relating to oaths for disclosure statements and forms was approved by the executive and forwarded to the County Council in June. This proposed change would allow the statements and forms to be corrected and made legally enforceable for any false or misleading statements in these documents, since the declaration or oath contained in the forms must be legally sufficient under the law.
- **Goal III: Provide Advice and Guidance.** The Board issued no advisory opinions in 2004, although it provided advice and guidance during meetings on issues including rules for the HIV/AIDS Planning Council; acceptance by an employee of an award and paid travel from a professional organization; and an employee request to review statements of financial and other interests. The administrator provided 159 written staff information responses to requesting employees—a 130% increase over the previous year; the administrator responded to 199 ethics-related questions from county employees and the public—a 90% increase over 2003.
- **Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.** As of the April 15th deadline, 99% of the 2,302 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 97% of the 461 county board and commission members had filed. Under the consultant disclosure program, more than 300 contractors and vendors filed consultant disclosure statements with the ethics office as required by K.C.C. 3.04.120.
- **Goal V: Collaborate with Other Ethics Agencies.** The executive directors of the Seattle Ethics and Elections Commission and the Washington State Executive Ethics Board attended the annual Board retreat in January to discuss potential areas of collaboration, including a Statement of Common Principals. In addition, the Board of Ethics continued its participation as a member of the international Council on Governmental Ethics Laws (COGEL), where the administrator served on a committee drafting a model ethics law for use by agencies throughout the country.

# The King County Board of Ethics

## ***Mission***

**To ensure the highest standards of public service by developing, disseminating, and promoting readily understandable ethics requirements for King County employees and agencies.**

## ***Authority***

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

## ***The Board***

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the Board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the Board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The Board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The Board is assisted by one full-time administrator in a central office and legal counsel from the prosecuting attorney's office, and serves more than 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the Board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is to be appointed by the executive based upon nominations from the other Board members. In 2004, the Board maintained a full complement of five members, all serving in current terms.

The Board conducted 10 public meetings in 2004 and members maintained an 84% attendance record. During the annual half-day board retreat held on Saturday, January 17, the Board approved the 2003 Annual Report and the 2004 business plan, and adopted the 2004 mission and goals.

## ***2004 Goals***

- Goal I:** To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.
- Goal II:** To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.
- Goal III:** To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.
- Goal IV:** To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.
- Goal V:** To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purpose of information exchange and to consider program improvements for the King County ethics program.

## The King County Board of Ethics (continued)

### **2004 Initiatives**

In addition to its primary functions, the Board actively pursued new initiatives in 2004, as follows.

**2003 – 2006 Awareness Campaign.** The Board continued its work on this important initiative created and designed to raise awareness of the ethics code, the Board and office, and the resources they provide. Details of campaign activities are found on page 14.

**Annual Board Reception.** The Board hosted its Seventh Annual Board of Ethics Reception on May 20, for county councilmembers, the executive, department directors, separately elected officials, former county ethics board members, and representatives from other ethics jurisdictions. The purpose of this event was to call attention to the accomplishments of the Board during the

past year and to formally recognize county employees who made a significant contribution toward the achievement of those goals. Executive Ron Sims and Councilmember Dow Constantine attended and gave brief remarks.

Chair Price Spratlen spoke and presented certificates of appreciation to three Department of Natural Resources and Parks employees who contributed to the Awareness Campaign—Deborah Brockway, Michael Jacobson, and Doug Rice—and to the 2004 financial disclosure coordinator, Peter Toliver.

**Meetings with County Leadership.** In order to create cooperative working relationships with the legislative and executive branches of government, the Board established meetings with county leaders to discuss ethics-related issues within King County government. Meetings in 2004 were as follows:

<b><i>Date</i></b>	<b><i>Board Members</i></b>	<b><i>County Leadership</i></b>
<b>January 14</b>	<b>Dr. Price Spratlen; Ms. Clemens, Administrator</b>	<b>Councilmember Ferguson</b>
<b>January 28</b>	<b>Dr. Price Spratlen; Mr. Saltzman</b>	<b>Councilmember Hammond</b>
<b>April 26</b>	<b>Dr. Price Spratlen; Dr. Gorden</b>	<b>Executive Sims</b>
<b>June 28</b>	<b>Dr. Price Spratlen; Mr. Carlson; Dr. Gordon; Rev. Pruitt</b>	<b>Committee of the Whole</b>
<b>July 15</b>	<b>Dr. Price Spratlen; Mr. Carlson</b>	<b>Executive Sims</b>

## Board of Ethics Members



### **Lois Price Spratlen, Ph.D., Chair**

**1994 – present**

Lois is the University Ombudsman and Ombudsman for Sexual Harassment at the University of Washington, and a professor in the School of Nursing. She joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA, and her Ph.D. in Urban Planning is from the University of Washington. She is a board certified psychotherapist and holds the designation of Clinical Specialist. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

Having served as Ombudsman for Sexual Harassment since 1982, Lois was appointed University Ombudsman in 1988. She is the first woman on the UW campus to occupy this latter role, which was established in 1969. An active leader within the California Caucus of College and University Ombuds, Lois was named Ombuds of the Year in 1998. She also founded and is co-editor of *The Journal*, the only peer-reviewed publication for ombuds scholarship.

Locally, Lois has served other boards, including Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney Professional Nurses Organization, as well as the founder of its endowment, and past president of the Far West Region of the Hampton University Alumni Association. Lois is the author of *African American Registered Nurses in Seattle: the Struggle for Opportunity and Success*, and is currently working on a companion volume on *African American Registered Nurses in Mississippi*.

During her tenure as chair of the King County Board of Ethics, Lois has made prevention through education a primary focus, implementing an ethics education program designed to reach all employees, appointed and elected officials. She has promoted outreach to the County Executive and Council, and to other city, county and state ethics agencies. In 2004, Attorney General Rob McKenna asked Lois to serve on his transition team to focus on ethics-related matters.



## Board of Ethics Members



### ***Roland H. Carlson***

**1994 – present**

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal manager on the Weapon and Basing System Support Programs, and manager of Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5½ years as a Research and Development Officer in the U.S. Air Force. Key assignments included structural nuclear blast and shock experiments at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member)), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He is the author/co-author of numerous professional papers and journal articles.

## Board of Ethics Members



### ***Margaret T. Gordon, Ph.D.***

**1999 – present**

Margaret (Margo) Gordon is Dean and Professor Emeritus of the Daniel J. Evans School of Public Affairs at the University of Washington.

She joined the UW faculty in 1988, and after nearly ten years of service as Dean elected to engage full time in teaching and research. She taught “News Media and Public Policy” and “Race, Ethnicity and Public Policy.” Her most recent research has been funded by the Ford Foundation (Quality Journalism in the 21st Century) and the Bill & Melinda Gates Foundation (Impacts of the Public Access Computing Project).

Professor Gordon retired in July, 2004, but is continuing to teach as an emeritus professor. Prof. Gordon also is currently serving as the vice president for North America for the International Association of Schools and Institutes of Administration. She formerly served on the Executive Council as the past president of the National Association of Schools of

Public Affairs and Administration and as a member of the National Governing Board of Common Cause, and locally she serves on the Advisory Board of KCTS, the Washington News Council and the Washington Women’s Forum.

Before coming to Seattle, Prof. Gordon was director of the Center for Urban Affairs and Policy Research and a faculty member at Northwestern University. She has also taught at the University of Illinois and the University of Nigeria.

She was named a charter member of the Hall of Achievement by her alma mater (Northwestern University); received an Exemplary Public Service Award in recognition of her dedication to diversity in higher education during her presidency of the Policy Board of the Public Policy and International Affairs Fellowship program; and librarians gave their CHOICE award for best book to her co-authored work *Female Fear: The Social Costs of Rape*.

## Board of Ethics Members



### **Rev. Paul F. Pruitt**

**1992 – present**

Paul Pruitt was born in Nebraska in 1922. The Pruitt family moved to Idaho in the Great Depression, then on to Washington in the late 1930s.

Paul's high school was in Kirkland, college at the College of Puget Sound (now UPS) in the early forties. He attended and received his Bachelor of Divinity degree at Yale Divinity School, New Haven, Connecticut. There he met and married Yale School of Nursing student Mary Margaret Dunlap. They raised four children, now grown and establishing their own families.

Paul served churches of the United Church of Christ in Anacortes, Lowell, University Place, and the High Point Community Church and Christian Center in West Seattle. The Pruitts spent three and one-half years in missions with their church in the Philippines. For two years Paul was a vocational counselor at the Clover Park Vocational School. He served in the Washington State Legislature for the 34th District for eight years. He retired from a ministry at the Fauntleroy Church, United Church of Christ, in West Seattle in December of 1995.



### **Mr. Jerry Saltzman**

**2003 – present**

Jerry Saltzman has been a psychotherapist in private practice for thirty years. As part of his practice, Jerry has conducted groups and workshops on removing personal and culturally imposed barriers to the development of open, workable human relationships.

Prior to becoming a psychotherapist, Jerry taught philosophy at UCLA and California State University, Northridge. His areas of specialization were ethics and political philosophy. Recently he taught similar courses at Cascadia Community College. Jerry now teaches courses in the graduate psychology program at Antioch University.

Outside of his professional work, Jerry devotes considerable time advocating for economic and social justice. His past work with the African American/Jewish Coalition for Justice and his present work with Caucasians United for Reparations and Emancipation focuses on demonstrating how a thoughtful approach to the issue of reparations to descendants of enslaved Africans could be a profound step toward making our society a more principled one which is more responsive to human needs. This work is reflected in Jerry's contribution to an upcoming book entitled, *The Debtors: White America Responds to the Call for Black Reparations*.

## Board Members and Staff 1983 – 2004

### ***Board Members***

---

Judith Woods, Ph.D.  
1983 – 1992

Hubert Locke, Ph.D., Chair\*  
1984 – 1987

J. Patrick Dobel, Ph.D., Chair  
1987 – 1996

Timothy Edwards, Chair  
1989 – 1996

Rev. Paul F. Pruitt  
1992 – present

Lois Price Spratlen, Ph.D., Chair  
1994 – present

Roland H. Carlson, Acting Chair  
1994 – present

Lembhard G. Howell  
1996 – 2002

Judge Paul M. Feinsod  
1997 – 1999

Margaret T. Gordon, Ph.D.  
1999 – present

Jerry Saltzman  
2003 – present

### ***Administrators***

---

Margaret A. Grimaldi  
1992 – 1997

Catherine A. Clemens  
1997 – present

\*“Chair” indicates the member served in that capacity during his or her tenure on the board.

Roster based on available information.

## Staff and Budget



### ***Catherine A. Clemens***

#### **Administrator 1997 – present**

As administrator to the Board of Ethics since 1997, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for employees, elected officials, and board and commission members, and the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. In addition, she publishes advisory

opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: [www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/).

The administrator manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public; she provides written informational responses upon request.

Peter Toliver served as the financial disclosure coordinator in the first quarter of 2004, and he has served in this capacity each year since 2001.

Alan Abrams, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, has served as legal counsel to the Board since 2003.

### ***Budget for Calendar Year 2004***

<b>Budget</b>	<b>\$118,447</b>
<b>Full Time Staff</b>	<b>1.0</b>

## Goal I — Education and Training

**To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.**

### Awareness Campaign 2003 – 2006

In 2003, the Board of Ethics determined it would create a multi-year campaign to raise employee awareness of the Code of Ethics, the Board of Ethics, the ethics office, and the services they provide. The ethics administrator, assisted by employees of the Department of Natural Resources and Parks (DNRP), designed a set of awareness materials with a unified image. In spring 2004, using this design, the ethics office distributed ethics posters with tear-off Ethics Help Line cards throughout county offices and operations facilities; in addition, all county employees received Ethics Help Line cards with paychecks, to provide them with a resource to help them make sound ethical decisions in the workplace. Later in October, the ethics administrator conducted a survey/quiz to determine the extent to which employees recalled seeing the awareness materials, and to learn how much they knew about the Code of Ethics.

The executive assisted the Board by alerting King County department directors and separately-elected officials of the upcoming ethics survey/quiz. A week later, he sent a county-wide email to 11,000 employees with access to a computer asking them to participate in the survey/quiz via a Web link. The broadcast email was quickly followed by a second brief message with Web link via the county-wide employee messaging system. The administrator sent 2,785 hard copies to certain department supervisors for distribution to employees with limited computer access. A summary of the survey/quiz results revealed the following facts:

- Total Distribution: 13,802
- Overall response rate: 21%
- Correct responses to the all questions were exceptionally high—five of the six questions received more than 90% correct answers.

- Two-thirds (66%) of respondents do not have, or do not know if they have, an Ethics Help Line card.
- Half (48%) of respondents have not seen, or do not know if they have seen, an ethics poster in their department.
- More than 260 (9%) of respondents wrote comments.
- Four percent, or 117, respondents indicated a desire to be contacted by the ethics office; all requesters were contacted and communications included requiring more ethics information, asking for a personal survey score, providing positive feedback, and asking for guidance on specific ethics-related issues.

Based on the responses to the survey/quiz questions, the Board concluded that:

- The high number of correct responses indicates that county employees have a strong, basic-level understanding of key ethics issues.
- Through employee comments and requests to be contacted, a significant number of employees have a need and/or desire to communicate on ethics matters.
- There is more work to do if the Board wants to ensure that all employees have an Ethics Help Line card, a key vehicle for encouraging employees to seek advice and to contact the Ethics Office.
- It now has more information about awareness of recently distributed ethics materials, the employees' general knowledge of the ethics code, and how employees respond to common ethical dilemmas.

The complete 2004 Ethics Survey/Quiz Report is available on the ethics Web site and by contacting the ethics office.



## Goal I — Education and Training (continued)

**Training and Education Overview.** More than 1,500 employees, including board and commission members, received ethics training in 2004, with an emphasis placed on reaching new employees (78%) and supervisors (11%), as well as board and commission members (3.3%), general staff (3.5%), and human resource specialists (2.3%). By focusing primarily on new employees and supervisors, the Board and administrator help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure; that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

The training program achieved its aim to focus on new employees and supervisors. The number of presentations increased from 64 to 94, or 47% over last year; the number of presentation hours decreased by 37%. The number of employees who received ethics training in 2004 decreased from the previous year by 280 or 16%; this change was due to the education outreach program in 2003 which will be repeated in 2005. Therefore, the administrator reached slightly fewer employees, but increased by half the number of shorter presentations.

**Classes.** Since 1994, the Board of Ethics has consistently identified education and training for county employees as its first goal and priority. To meet that goal, the administrator conducted weekly, mandatory orientations for new county employees through the Human Resources Division (HRD). The orientations included an overview of the ethics code and an introduction to the ethics Board and office. New employees received a *Summary of the Code of Ethics*; an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors, and customers. Employees are encouraged to contact the ethics Board and

<b>Year</b>	<b>Presentations</b>	<b>Hours</b>	<b>Participants</b>
<b>1994</b>	<b>29</b>	<b>68.00</b>	<b>680</b>
<b>1995</b>	<b>24</b>	<b>72.00</b>	<b>600</b>
<b>1996</b>	<b>32</b>	<b>91.00</b>	<b>750</b>
<b>1997</b>	<b>14</b>	<b>11.00</b>	<b>630</b>
<b>1998</b>	<b>20</b>	<b>21.00</b>	<b>1,318</b>
<b>1999</b>	<b>36</b>	<b>38.50</b>	<b>1,215</b>
<b>2000</b>	<b>32</b>	<b>46.25</b>	<b>917</b>
<b>2001</b>	<b>34</b>	<b>44.50</b>	<b>1,166</b>
<b>2002</b>	<b>43</b>	<b>37.75</b>	<b>1,043</b>
<b>2003</b>	<b>64</b>	<b>76.00</b>	<b>1,785</b>
<b>2004</b>	<b>94</b>	<b>47.75</b>	<b>1,505</b>

office as a resource to help them make ethical decisions in their workplace.

The administrator also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRD Supervisor Training Program. These courses included a comprehensive review of the code, an introduction to the ethics Board and office, a description of a decision-making model, and an interactive, group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas. Finally, they received practical ideas on ways to foster an ethical environment within their own agencies.

## Goal I — Education and Training (continued)

<b>Question</b>	<b>Response %</b>	<b>Rating</b>
<b>Applicability of knowledge to current job</b>	<b>71%</b>	<b>Very good and above</b>
<b>Quality of course content</b>	<b>85%</b>	<b>Very good and above</b>
<b>Knowledge and ability of instructor</b>	<b>82%</b>	<b>Very good and above</b>
<b>Gained knowledge during course</b>	<b>76%</b>	<b>Minimum of 1 step gain</b>

**Evaluations.** HRD conducted evaluations following each supervisor training course. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from *poor, fair, good, very good, and excellent*. In addition, attendees were asked to rate their knowledge of county ethics requirements before and after the class on a scale of 1 to 5. Participants rated the ethics course as shown above.

**Informal Presentations.** The ethics office offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group. Participating agencies included

facilities management personnel, public health plumbing inspectors, the Kent public health clinic staff, and records and elections employees.

In addition, the administrator presented an ethics overview to county boards and commissions during regular meetings, including the Transit Advisory Committee, Accessible Services Advisory Committee, Rural Forest Commission, Civil Rights Commission, and the Deferred Compensation Plan Board.

**Specialized Training.** Additional training sessions focused on groups with specialized functions. These included department coordinators and board and commission staff liaisons with responsibilities related to the financial disclosure program, and the Personnel Forum, an association of King County human resource specialists.

<b>Employee Type</b>	<b>Number</b>	<b>%</b>	<b>Hours</b>	<b>Subject Focus</b>
<b>New Employees</b>	<b>1,175</b>	<b>78%</b>	<b>16.50</b>	<b>Ethics Overview</b>
<b>Supervisors/Managers</b>	<b>168</b>	<b>11%</b>	<b>19.00</b>	<b>Ethics Code and Agency</b>
<b>General Employees</b>	<b>52</b>	<b>3.5%</b>	<b>3.50</b>	<b>Ethics Code and Agency</b>
<b>Board/Commission Members</b>	<b>50</b>	<b>3.3%</b>	<b>2.25</b>	<b>Ethics Code and Agency</b>
<b>HR Personnell</b>	<b>35</b>	<b>2.3%</b>	<b>.25</b>	<b>Ethics Code and Agency</b>
<b>Department Coordinators</b>	<b>12</b>	<b>&lt;1%</b>	<b>2.75</b>	<b>Financial Disclosure</b>
<b>Board-Commission Staff</b>	<b>11</b>	<b>&lt;1%</b>	<b>3.00</b>	<b>Financial Disclosure</b>
<b>Directors/Deputies</b>	<b>2</b>	<b>&lt;1%</b>	<b>.50</b>	<b>Ethics Code and Agency</b>
<b>Total</b>	<b>1,505</b>	<b>100%</b>	<b>47.75</b>	



## Goal I — Education and Training (continued)

**Technology.** The ethics administrator continued to develop the ethics Web site and work with Information Technology to improve site form and function. Any employee or citizen with Internet access may visit the site at [www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/). There they will be able to learn about the Board of Ethics and its mission, goals, identity, history and activities; the Code of Ethics and related summary; all advisory opinions issued by the board in their full text; rules and procedures; disclosure program information, guides and forms; ethics publications and recent news; and the current and historical meeting schedules, agendas and minutes. The administrator worked with Executive Services staff for on-going support.

**Publications and Awareness Materials.** The administrator published and distributed the following publications and awareness materials in 2004:

- **Advisory Opinion Subject Index and Summary Guide**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and date issued—distribution to county leadership and upon request.
- **Ethics Help Line Card**—Helping Employees Make Ethical Decisions—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distribution to all county employees.
- **Summary of the Code of Ethics**—a summary of the ethics code in plain language with examples; required to be received by all new employees.
- **You And King County: Doing Business with Contractors, Vendors, Clients, and Customers**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distribution to both employees and contractors, vendors, and customers.
- **Exiting Employees Fact Sheet**—a summary of post-employment policy and law and a list of key provisions under the Code of Ethics—distribution upon request.
- **2004 Annual Report**—distribution to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **Ethics Poster**—12" x 17" poster with peel-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distribution throughout the county.

## Goal II — Review of the Code of Ethics

**To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and County Council.**

***Oaths and Declarations for Statements and Forms.*** Previously, in 2003, the Board finalized and forwarded to the executive a proposed amendment to provisions of the ethics code regarding declarations for statements of financial and other interests and for the consultant disclosure form. [K.C.C. 3.04.050(F) and K.C.C. 3.04.120(A)(3)] The amendment would

add language to ensure that the declaration or oath in the statement and form would be legally sufficient for prosecution should an employee fail to fully disclose required information. In June 2004, the executive approved the proposed amendment and forwarded the matter for action to the County Council.

## Goal III — Advice and Guidance

**To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.**

**Advisory Opinions.** From 1991 through 1999, the board issued 148 advisory opinions; it issued no advisory opinions in 2004, although it provided advice and guidance during meetings on issues including rules for the HIV/AIDS Planning Council; employee acceptance of an award and paid travel from professional organization; and review and revision of the information to be disclosed in statements of financial and other interests. In these instances, the Board approved the HIV/AIDS Planning Council rules; found no conflict on acceptance of the award and paid-travel; and declined to revise the disclosure statements.

<b>Year</b>	<b>Ethics Advisory Opinions</b>	<b>Staff Informational Responses</b>
<b>1991</b>	<b>30</b>	<b>*</b>
<b>1992</b>	<b>16</b>	<b>*</b>
<b>1993</b>	<b>20</b>	<b>*</b>
<b>1994</b>	<b>28</b>	<b>12</b>
<b>1995</b>	<b>25</b>	<b>15</b>
<b>1996</b>	<b>10</b>	<b>15</b>
<b>1997</b>	<b>8</b>	<b>42</b>
<b>1998</b>	<b>4</b>	<b>44</b>
<b>1999</b>	<b>1</b>	<b>21</b>
<b>2000</b>	<b>0</b>	<b>70</b>
<b>2001</b>	<b>0</b>	<b>77</b>
<b>2002</b>	<b>0</b>	<b>87</b>
<b>2003</b>	<b>0</b>	<b>69</b>
<b>2004</b>	<b>0</b>	<b>159</b>
<b>TOTAL</b>	<b>148</b>	<b>611</b>

**Staff Informational Responses.** During the year, the administrator issued 159 staff informational responses in which she provided a written response to employee inquiries on situations where the code and existing advisory opinions have already been applied to an analogous issue. This number represents an increase over 2003 of 130%. Issues included, in order of numbers of requests, use of county resources; political activities in the workplace; solicitation for donations by employees; acceptance of gifts; outside employment; conflict for board members; and post-employment. Because the existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the Board.

**Telephone inquiries.** Phone consultations help solve ethics-related questions by providing employees and supervisors with the information they need to make common-sense decisions. In addition to reviewing the situation and providing clarifying information, the administrator encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the administrator responded to more than 350 telephone calls; this figure does not reflect outgoing calls placed by the administrator or e-mail messages. Categories of inquiry included, among others, 199 ethics-related questions from employees (a 90% increase over 2003), 39 ethics-related questions referred to other agencies, 4 public inquiries, 36 questions on employee financial disclosure, 30 questions on the board and commission requirement for financial disclosure, and 68 inquiries on the requirement for consultant disclosure.

\* Not issued prior to 1994

## Goal IV — Disclosure Programs

**To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.**

**Employees and Elected Officials.** As of the April 15 deadline, 99% of the 2,302 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. By May 27, 100% compliance had been achieved. The administrator provided notices and regular reporting to the county executive, county council, the ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the administrator reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received orientations in January and the ethics office provided weekly communications on employee filing status.

**Board and Commission Members.** As of the April 15 deadline, 97% of the 461 county board and commission members had filed statements of financial and

other interests as required under K.C.C. 3.04.050. On May 27, the compliance rate was 98%. As with employee statements, the administrator reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received orientations in January and the ethics office provided weekly communications on employee filing status.

**Consultant Disclosure.** Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed more than 300 consultant disclosure statements in 2004. All forms are individually reviewed and the administrator may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

<b>Year</b>	<b>Board Members and Commissioners (# and % compliance)</b>	<b>Employees and Elected Officials (# and % compliance)</b>	<b>Consultant Disclosure Statements (# of filings)</b>
<b>1994</b>	<b>438 (% unknown)</b>	<b>2000 (estimate) (% unknown)</b>	<b>79</b>
<b>1995</b>	<b>498 (% unknown)</b>	<b>2000 (estimate) (% unknown)</b>	<b>89</b>
<b>1996</b>	<b>565 (% unknown)</b>	<b>2000 (estimate) (% unknown)</b>	<b>72</b>
<b>1997</b>	<b>612 (70%)</b>	<b>1,643 (79%)</b>	<b>33</b>
<b>1998</b>	<b>528 (89%)</b>	<b>1,671 (97%)</b>	<b>223</b>
<b>1999</b>	<b>445 (90% by 9/30)</b>	<b>1,857 (99.5% by 9/30)</b>	<b>263</b>
<b>2000</b>	<b>432 (100% by 8/14)</b>	<b>1,928 (100% by 8/14)</b>	<b>281</b>
<b>2001</b>	<b>464 (100% by 6/6)</b>	<b>1,927 (100% by 6/6)</b>	<b>300</b>
<b>2002</b>	<b>436 (92% by 5/14; 100% by 7/15)</b>	<b>1,969 (100% by 5/14)</b>	<b>251</b>
<b>2003</b>	<b>448 (99% by 4/15; 99% by 5/12)</b>	<b>2,119 (99% by 4/15; 100% by 5/12)</b>	<b>299</b>
<b>2004</b>	<b>461 (97% by 4/15; 98% by 5/27)</b>	<b>2,302 (99% by 4/15; 100% by 5/27)</b>	<b>301</b>

## Goal V — Collaboration with Other Ethics Agencies

**To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program.**

The executive directors of the Seattle Ethics and Elections Commission and the Washington State Executive Ethics Board attended the annual Board retreat in January to discuss potential areas of collaboration, including a Tri-Jurisdictional Statement of Common Principals. In addition, the Board of Ethics continued its participation as a member of the international Council on Governmental Ethics Laws (COGEL), where the administrator serves

on the publications committee and a committee drafting a model ethics law for use by agencies throughout the country. In addition, the administrator is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations, and serves as a member of the Albers Business Ethics Initiative Advisory Council for Seattle University.

